

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON

Application No.: 09/540,613

Filed: March 31, 2000

For: **MANAGING A SECURE  
ENVIRONMENT USING A CHIPSET IN  
ISOLATED EXECUTION MODE**

Art Group: 2782

Examiner: Unassigned

SC  
H-12  
2/6/04

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FEB 02 2004

Technology Center 2100

## INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

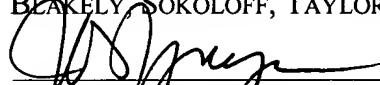
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: January 26, 2004

  
\_\_\_\_\_  
Thinh V. Nguyen, Reg. No. 42,034

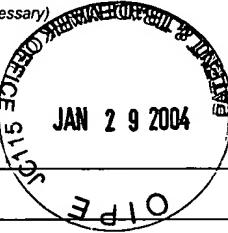
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Telephone: (714) 557-3800

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\_\_\_\_\_  
Tu T. Nguyen

01-26-04

Date

Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary)		Complete if Known	
		<b>Application Number</b>	09/540613
		<b>Filing Date</b>	March 31, 2000
		<b>First Named Inventor</b>	Ellison, Carl
		<b>Group Art Unit</b>	Unknown
		<b>Examiner Name</b>	Unknown
		<b>RECEIVED</b>	
Sheet 1 of 2		Technology Center 2100 Attorney Docket No: 42P08628	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T <sup>2</sup>
	DE-DE4217444	12/03/1992	Toyohisa, Imada , et al.			
	EP-EP0473913	03/11/1992	Farrell, Joel A.			
	JP-JP2000076139	03/14/2000	Tanno, Masaaki , et al.			
	WO-WO0175564	10/11/2002	Herbert, Howard C., et al.			
	WO-WO02086684	10/31/2002	Proudler, Graeme J.			
	WO-WO0217555	02/28/2002	Ford, Warwick			

**OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	✓ BRANDS, STEFAN , "Restrictive Blinding of Secret-Key Certificates", SPRINGER-VERLAG XP002201306, (1995),Chapter 3		
	✓ CHIEN, ANDREW A. , et al., "Safe and Protected Execution for the Morph/AMRM Reconfigurable Processor", 7th Annual IEEE Symposium, FCCM '99 Proceedings, XP010359180, ISBN 0-7695-0375-6, Los Alamitos, CA, (4/21/1999),209-221		
	✓ COMPAQ COMPUTER CORPORATION, et al., "Trusted Computing Platform Alliance (TCPA) Main Specification Version 1.1a", (12/2001),1-321		
	✓ DAVIDA, GEORGE I. , et al., "Defending Systems Against Viruses through Cryptographic Authentication", Proceedings of the Symposium on Security and Privacy, IEEE Comp. Soc. Press, ISBN 0-8186-1939-2,(May 1989),		
	✓ IBM, "Information Display Technique for a Terminate Stay Resident Program IBM Technical Disclosure Bulletin", TDB-ACC-No. NA9112156, Vol. 34, Issue 7A, (12/1/1991),156-158		
	✓ KARGER, PAUL A. , et al., "A VMM Security Kernel for the VAX Architecture", Proceedings of the Symposium on Research in Security and Privacy, XP010020182, ISBN 0-8186-2060-9, Boxborough, MA, (5/7/1990),2-19		
	✓ KASHIWAGI, KAZUHIKO , et al., "Design and Implementation of Dynamically Reconstructing System Software", Software Engineering Conference, Proceedings 1996 Asia-Pacific Seoul, South Korea 4-7 Dec. 1996, Los Alamitos, CA USA, IEEE Comput. Soc, US, ISBN 0-8186-7638-8,(1996),		
	✓ LUKE, JAHN , et al., "Replacement Strategy for Aging Avionics Computers", IEEE AES Systems Magazine, XP002190614,(March 1999),		
	✓ MENEZES, OORSCHOT , "Handbook of Applied Cryptography", CRC Press LLC, USA XP002201307, (1997),475		
	✓ RICHT, STEFAN , et al., "In-Circuit-Emulator Wird Echtzeittauglich", Elektronik, Franzis Verlag GMBH, Munchen, DE, Vol. 40, No. 16, XP000259620,(100-103),8-6-1991		
	✓ ROBIN, JOHN S. , et al., "Analysis of the Pentium's Ability to Support a Secure Virtual Machine Monitor", Proceedings of the 9th USENIX Security Symposium, XP002247347, Denver, Colorado, (8/14/00),1-17		

**EXAMINER****DATE CONSIDERED**

Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <small>(Use as many sheets as necessary)</small>		<i>Complete if Known</i> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application Number</td> <td>09/540613</td> </tr> <tr> <td>Filing Date</td> <td>March 31, 2000</td> </tr> <tr> <td>First Named Inventor</td> <td>Ellison, Carl</td> </tr> <tr> <td>Group Art Unit</td> <td>Unknown</td> </tr> <tr> <td>Examiner Name</td> <td>Unknown</td> </tr> </table> <div style="text-align: right; margin-top: -10px;"><b>RECEIVED</b></div> <div style="text-align: right; margin-top: -10px;">FEB 02 2004</div>		Application Number	09/540613	Filing Date	March 31, 2000	First Named Inventor	Ellison, Carl	Group Art Unit	Unknown	Examiner Name	Unknown
Application Number	09/540613												
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First Named Inventor	Ellison, Carl												
Group Art Unit	Unknown												
Examiner Name	Unknown												
<small>Sheet 2 of 2</small>		Attorney Docket No: 42P08628      Technology Center 2100											

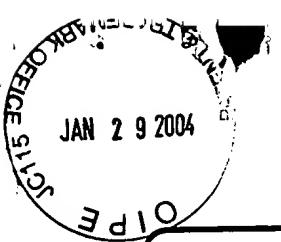
### OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		SAEZ, SERGIO , et al., "A Hardware Scheduler for Complex Real-Time Systems", <u>Proceedings of the IEEE International Symposium on Industrial Electronics</u> , XP002190615,(July 1999),43-48	
		SHERWOOD, TIMOTHY , et al., "Patchable Instruction ROM Architecture", <u>Department of Computer Science and Engineering, University of California, San Diego, La Jolla, CA, (Nov. 2001)</u> ,	

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EXAMINER

DATE CONSIDERED



2782  
2134

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

7

Application No.	09/540,613
Filing Date	March 31, 2000
First Named Inventor	Carl M. Ellison
Art Unit	2782

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42390P8628

### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	<input type="checkbox"/> Cited References & Change of Correspondence Address
<input checked="" type="checkbox"/> PTO/SB/08	<input type="checkbox"/> CD, Number of CD(s)	
<input type="checkbox"/> Certified Copy of Priority Document(s)		
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	<input type="checkbox"/> Remarks	
<input type="checkbox"/> Basic Filing Fee		
<input type="checkbox"/> Declaration/POA		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

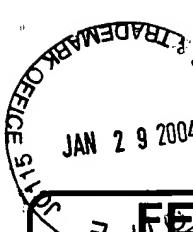
### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Thinh V. Nguyen, Reg. No. 42,034 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	January 26, 2004

### CERTIFICATE OF MAILING/TRANSMISSION

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Typed or printed name	Tu T. Nguyen		
Signature		Date	January 26, 2004



# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

**TOTAL AMOUNT OF PAYMENT** **(\\$)**

*Complete if Known*

Application Number	09/540,613
Filing Date	March 31, 2000
First Named Inventor	Carl M. Ellison
Examiner Name	Unassigned
Group/Art Unit	2782
Attorney Docket No.	42390P8628

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## METHOD OF PAYMENT (check all that apply)

Check  Credit card  Money Order  Other  None  
 Deposit Account

Deposit Account Number **02-2666**

Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		<b>Fee Paid</b>
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1001	770	2001	385	Utility filing fee
1002	340	2002	170	Design filing fee
1003	530	2003	265	Plant filing fee
1004	770	2004	385	Reissue filing fee
1005	160	2005	80	Provisional filing fee
<b>SUBTOTAL (1)</b>		<b>(\\$)</b>		

### 2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Extra Claims	Fee from below	Fee Paid
		20**	=	
		3	=	

Large Entity		Small Entity		<b>Fee Paid</b>
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple Dependent claim, if not paid
1204	86	2204	43	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2)</b>		<b>(\\$)</b>		

\*or number previously paid, if greater. For Reissues, see below

### 3. ADDITIONAL FEES

Large Entity	Small Entity	<b>Fee Description</b>	<b>Fee Paid</b>
1051	130	2051 65 Surcharge - late filing fee or oath	
1052	50	2052 25 Surcharge - late provisional filing fee or cover sheet	
2053	130	2053 130 Non-English specification	
1812	2,520	1812 2,520 For filing a request for ex parte reexamination	
1804	920*	1804 920* Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805 1,840* Requesting publication of SIR after Examiner action	
1251	110	2251 55 Extension for reply within first month	
1252	420	2252 210 Extension for reply within second month	
1253	950	2253 475 Extension for reply within third month	
1254	1,480	2254 740 Extension for reply within fourth month	
1255	1,210	2255 605 Extension for reply within fifth month	
1404	330	2401 165 Notice of Appeal	
1402	330	2402 165 Filing a brief in support of an appeal	
1403	290	2403 145 Request for oral hearing	
1451	1,510	2451 1,510 Petition to institute a public use proceeding	
1452	110	2452 55 Petition to revive - unavoidable	
1453	1,330	2453 665 Petition to revive - unintentional	
1501	1,330	2501 665 Utility issue fee (or reissue)	
1502	480	2502 240 Design issue fee	
1503	640	2503 320 Plant issue fee	
1460	130	2460 130 Petitions to the Commissioner	
1807	50	1807 50 Processing fee under 37 CFR 1.17(q)	
1806	180	1806 180 Submission of Information Disclosure Stmt	
8021	40	8021 40 Recording each patent assignment per property (times number of properties)	
1809	770	1809 385 Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810 385 For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801 385 Request for Continued Examination (RCE)	
1802	900	1802 900 Request for expedited examination of a design application	
<b>Other fee (specify)</b>			

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)**

**(\\$)**

Complete (if applicable)

Name (Print/Type)	Thinh V. Nguyen	Registration No. (Attorney/Agent)	42,034	Telephone	(714) 557-3800
Signature				Date	01/26/04